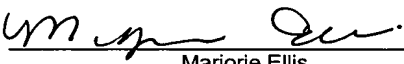



| | | |
|--|-----------------------------|--|
| FORM PTO-1390 U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | | ATTORNEY DOCKET NUMBER PAT-00293 |
| TRANSMITTAL LETTER TO THE UNITED STATES | | U.S. APPLICATION NO. (IF KNOWN) SEE SR RR (15) 10/511057 |
| DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | |
| INTERNATIONAL APPLICATION NO. | INTERNATIONAL FILING DATE | PRIORITY DATE CLAIMED |
| PCT/EP02/04477 | (24.04.2002) 24. April 2002 | (24.04.2002) 24. April 2002 |
| TITLE OF INVENTION: THERMALLY CURABLE, THIXOTROPIC MIXTURES CONTAINING CARBAMATE AND/OR ALLOPHANATE GROUPS | | |
| APPLICATION(S) FOR DO/EO/US: Hubert BAUMGART, Vince COOK and Sandra HASSE | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | |
| <p>1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.</p> <p>2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.</p> <p>3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) The submission must include Items (5), (6), (9) and (21) indicated below.</p> <p>4. <input checked="" type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).</p> <p>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> are transmitted herewith (required only if not transmittal by the International Bureau).</p> <p style="margin-left: 20px;">b. <input checked="" type="checkbox"/> have been transmitted by the International Bureau.</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</p> <p>6. <input checked="" type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).</p> <p style="margin-left: 20px;">a. <input checked="" type="checkbox"/> Is attached hereto.</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> Has been previously submitted under 35 U.S.C 154(d)(4).</p> <p>7. <input checked="" type="checkbox"/> Amendment to the claims of the International Application under PCT Article 19 (35 U.S.C.37 (c)(3))</p> <p style="margin-left: 20px;">a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</p> <p style="margin-left: 20px;">b. <input type="checkbox"/> have been communicated by the International Bureau.</p> <p style="margin-left: 20px;">c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</p> <p style="margin-left: 20px;">d. <input checked="" type="checkbox"/> have not been made and will not be made.</p> <p>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</p> <p>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</p> <p>10. <input checked="" type="checkbox"/> An English language translation of the annex to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C 371(c)(5)).</p> <p>Items 11. to 20. below concern document(s) or information included:</p> <p>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.</p> <p>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</p> <p>13. <input checked="" type="checkbox"/> A FIRST preliminary amendment.</p> <p>14. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.</p> <p>15. <input type="checkbox"/> A substitute specification.</p> <p>16. <input type="checkbox"/> A change of power of attorney and/or address letter.</p> <p>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 – 1.825.</p> <p>18. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).</p> <p>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</p> <p>20. <input checked="" type="checkbox"/> Other items or information: A copy of the PCT Published Application, cover sheet only.</p> | | |
| <p>I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. ER 193 007 063 US addressed to the Commissioner for Patents, Mail Stop PCT, P.O. Box 1450, Alexandria, Virginia 22313-1450 on October 12, 2004.</p> <p style="text-align: center;"> Marjorie Ellis</p> | | |

| | | | | | |
|---|--------------|--|---|------------------------------------|----------|
| U.S. APPLICATION NO. 10/511057 | | INTERNATIONAL APPLICATION NO. PCT/EP02/04477 | | ATTORNEY'S DOCKET NUMBER PAT-00293 | |
| 21 <input checked="" type="checkbox"/> The following fees are submitted: | | | | CALCULATIONS PTO USE ONLY | |
| Basic National Fee (37 CFR 1.492(a)(1)-(5)): Neither international preliminary examination fee (37 CFR 1.482) Nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO..... | | | | \$1,110.00 | |
| International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO..... | | | | \$ 950.00 | |
| International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.44(a)(2)) paid to USPTO..... | | | | \$ 790.00 | |
| International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)..... | | | | \$ 750.00 | |
| International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) | | | | \$ 100.00 | |
| ENTER APPROPRIATE BASIC FEE AMOUNT = | | | | \$950.00 | |
| Surcharge of \$130.00 for furnishing the oath or declaration later <input type="checkbox"/> 20 <input type="checkbox"/> 30 than months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | \$ | |
| Claims | Number Filed | Number Extra | Rate | \$ | |
| Total Claims | 19 - 20 = | 0 | X \$ 18.00 | | |
| Independent claims | 01 - 03 = | 0 | X \$ 88.00 | | |
| Multiple dependent claims(s) (if applicable) | | | + \$300.00 | | |
| TOTAL OF ABOVE CALCULATION = | | | | \$950.00 | |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are | | | | \$ | |
| SUBTOTAL = | | | | \$950.00 | |
| Processing fee of \$130.00 for furnishing the English translation later <input type="checkbox"/> 20 <input type="checkbox"/> 30 the months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | \$ | |
| TOTAL NATIONAL FEE = | | | | \$950.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property + | | | | \$ | |
| TOTAL FEES ENCLOSED = | | | | \$950.00 | |
| | | | | Amount to be refunded: | \$ |
| | | | | Charged | \$950.00 |
| a. <input type="checkbox"/> A check in the amount of \$_____ to cover the above fees is enclosed. | | | | | |
| b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. <u>02-1201</u> in the amount of <u>\$950.00</u> to cover the above fees A triplicate copy of this sheet is enclosed. | | | | | |
| c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. . <u>02-1201</u> . A duplicate copy of this sheet is enclosed. | | | | | |
| d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card Information should not be included on this form. Provide credit card information and authorization on PTO-2038. | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status. | | | | | |
| SEND ALL CORRESPONDENCE TO: | | | | | |
| BASF CORPORATION Patent Department 26701 Telegraph Road Southfield, Michigan 48034-2442 (248) 948-2355 Customer No. 26922 | | | <u>Michael F. Morgan</u> SIGNATURE <u>Michael F. Morgan</u> Name <u>42,906</u> REGISTRATION NUMBER | | |


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|---|---|
| In re Application of Hubert BAUMGART Vince COOK Sandra HASSE | Practitioner's Docket No. PAT-00293 |
| Serial No.: This application is a National Phase application of PCT/EP02/04477 filed 24 April 2002. | Group Art Unit: Not Assigned |
| Filed: | Examiner: Not Assigned |
| For: Thermally Curable, Thixotropic Mixtures Containing Carbamate and/or Allophanate Groups | <u>EXPRESS MAIL CERTIFICATE</u> I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. ER 193 007 063 US addressed to BOX PCT, Commissioner for Patents, PO BOX 1450, Alexandria, VA 22313-1450 on the date shown below. October 12, 2004 _____ Date  _____ Marjorie Ellis |

BOX PCT
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

☒ English Application
Specification on pages; claims on pages;
the abstract on page(s); drawings on page(s).

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

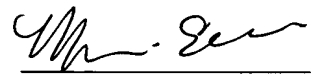
| | |
|---|--|
| In re Application of Hubert BAUMGART Vince COOK Sandra HASSE | Practitioner's Docket No. PAT-00293 |
| Serial No.: This application is a National Phase application of PCT/EP02/04477 filed 24 April 2002. | Group Art Unit: Not Assigned |
| Filed: | Examiner: Not Assigned |
| For: Thermally Curable, Thixotropic Mixtures Containing Carbamate and/or Allophanate Groups | <div style="border-bottom: 1px solid black; padding-bottom: 5px;"> <u>EXPRESS MAIL CERTIFICATE</u> </div> <p style="font-size: small;">I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. ER 193 007 063 US addressed to BOX PCT, Commissioner for Patents, PO BOX 1450, Alexandria, VA 22313-1450 on the date shown below.</p> <div style="display: flex; justify-content: space-between; align-items: flex-end; margin-top: 20px;"> <div style="text-align: center;"> October 12, 2004 _____ Date </div> <div style="text-align: center;">  _____ Marjorie Ellis </div> </div> |

BOX PCT
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

☒ German Text Application

| | | | | | |
|------------------|----|----------|-------------|----|----------|
| Specification on | 28 | pages; | claims on | 05 | pages; |
| the abstract on | 01 | page(s); | drawings on | | page(s). |

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|---|---|
| In re Application of Hubert BAUMGART Vince COOK Sandra HASSE | Practitioner's Docket No. PAT-00293 |
| Serial No.: This application is a National Phase application of PCT/EP02/04477 filed 24 April 2002. | Group Art Unit: Not Assigned |
| Filed: | Examiner: Not Assigned |
| For: Thermally Curable, Thixotropic Mixtures Containing Carbamate and/or Allophanate Groups | <u>EXPRESS MAIL CERTIFICATE</u> I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. ER 193 007 063 US addressed to BOX PCT, Commissioner for Patents, PO BOX 1450, Alexandria, VA 22313-1450 on the date shown below. October 12, 2004 _____ Date  _____ Marjorie Ellis |

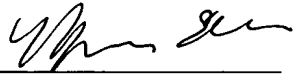
BOX PCT
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

☒ Combined Declaration and Power of Attorney, 04 pages

20/511057

DT04 Rec'd PCT/PTO 12 OCT 2004
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|---|---|
| In re Application of Hubert BAUMGART et al. Vince COOK Sandra HASSE | Practitioner's Docket No. PAT-00293 |
| Serial No.: This application is a National Phase application of PCT/EP02/04477 filed 24 April 2002. | Group Art Unit: Not Assigned |
| Filed: | Examiner: Not Assigned |
| For: Thermally Curable, Thixotropic Mixtures Containing Carbamate and/or Allophanate Groups | <u>EXPRESS MAIL CERTIFICATE</u> I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. ER 193 007 063 US addressed to BOX PCT, Commissioner for Patents, PO BOX 1450, Alexandria, VA 22313-1450 on the date shown below. October 12, 2004 _____ Date  _____ Marjorie Ellis |

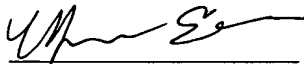
BOX PCT
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

| |
|---|
| <input checked="" type="checkbox"/> Translation of Claims |
|---|

10/511057

DT04 Rec'd PCT/PTO 12 OCT 2004
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | |
|---|---|
| In re Application of Hubert BAUMGART Vince COOK Sandra HASSE | Practitioner's Docket No. PAT-00293 |
| Serial No.: This application is a National Phase application of PCT/EP02/04477 filed 24 April 2002. | Group Art Unit: Not Assigned |
| Filed: | Examiner: Not Assigned |
| For: Thermally Curable, Thixotropic Mixtures Containing Carbamate and/or Allophanate Groups | <u>EXPRESS MAIL CERTIFICATE</u> I hereby certify that the attached correspondence is being deposited with the United States Postal Service in an envelope as "Express Mail Post Office to Addressee" Mailing Label No. ER 193 007 063 US addressed to BOX PCT, Commissioner for Patents, PO BOX 1450, Alexandria, VA 22313-1450 on the date shown below. October 12, 2004 _____ Date  _____ Marjorie Ellis |

BOX PCT
Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

☒

Front Application Data Sheet, 01 page